



ERIE COUNTY WATER AUTHORITY
INTEROFFICE MEMORANDUM

To: Jerome D. Schad, Chair
Peggy A. LaGree, Vice Chair
Michele M. Iannello, Treasurer

Cc: Terrence McCracken, Secretary
Karen Prendergast, Chief Financial Officer
Mark S. Carney, General Counsel
Russell J. Stoll, Chief Operating Officer
Leonard Kowalski, Executive Engineer
Raymond Herman, Ad Hoc Member
Robert C. Freeman, Ad Hoc Member
BrittneyLee Penberthy, Ad Hoc Member

From: Jacqueline C. Mattina, Associate Attorney,
of counsel to
Mark S. Carney, General Counsel

Date: February 14, 2022

Subject: Recommendations from the Independent Ethics Panel

The Independent Ethics Panel (the "IEP") held a meeting on February 3, 2022, to review the following:

- (1) ECWA Financial Disclosure Form for Calendar Year 2021
- (2) Policy No. 11.9: Code of Ethics & Conflict of Interest Policy
- (3) Policy No. 16.0: Whistleblower Protection Policy
- (4) 2021 Vendor List

- (5) Employee letter to be sent via regular mail
- (6) Employee Email

2021 Financial Disclosure Form

Minor changes were recommended throughout the Financial Disclosure Form including date changes to reflect the year 2021. The IEP further recommends to the Board of Commissioners that the first 2 paragraphs in the Acknowledgements Section of the form on Page 1 be combined into one.

Policy No. 11.9 Code of Ethics & Conflict of Interest Policy

The IEP had no recommended changes to the Code of Ethics & Conflict of Interest Policy, however, after discussion with the Associate Attorney, and a review and discussion of titles required to file the in-house financial disclosure statements, the Panel is recommending two (2) job titles be added under Article VI Financial Disclosure Statements Section 2(b)(2) Designated Job Titles. The two positions are Senior Associate Attorney and Director of Cybersecurity and Information Technology. These two titles were newly created positions in 2021.

Policy No. 16.0 Whistleblower Protection Policy

After a thorough review and discussion, the IEP did not recommend any changes to the Whistleblower Protection Policy.

2021 Vendor List

The Vendor List is sent to employees required to file an in-house financial disclosure so they can determine if they may have a potential conflict of interest that needs to be reported to the Authority. After review and discussion of the Vendor List, the IEP is recommending to the Authority's Board to continue the practice of only including vendors on the Vendors List receiving \$500 or more in the calendar year.

Additionally, the IEP recommended the removal of all listed dollar amounts next to each vendor's name. The Board will need to review and determine if they wish to change the current practice of listing amounts paid to the vendor or just include the Vendors name as recommended by the Panel.

Employee Letter and Employee Email

The Authority notifies those required to file in-house financial disclosure statements in two ways, the first is via regular mail with a hard copy of all necessary documentation and the second is via Email with links to all documentation necessary to complete the financial disclosure statement. After review and discussion, the IEP did not recommend any changes to the Employee letter or Employee Email other than changes to reflect the current year date.

The following documents are forwarded for review by the Governance Committee and the Board of Commissioners:

- (1) Draft Minutes for the February 3, 2022, IEP Meeting.
 - (2) Recommended revisions to the 2021 ECWA financial Disclosure Statement. I have included a copy of the 2020 financial disclosure statement for your reference. Changes made to 2020 statement to be included for 2021 are highlighted for your reference.
 - (3) Recommended revisions to Policy No. 11.9: Code of Ethics & Conflict of Interest Policy (with tracked changes and in final form).
 - (4) Policy No. 16.0 Whistleblower Protection Policy.
 - (5) 2021 Vendor List (vendor names under \$500 have been removed, however total amounts remain pending Board review).
 - (6) Employee Cover Letter and Employee Email.
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ERIE COUNTY WATER AUTHORITY
AUTHORIZATION FORM
For Approval/Execution of Documents
(check which apply)

Contract: _____ **Project No.:** _____
Project Description: Amendment to the Code of Ethics Policy and Approval of Financial Disclosure Statement and related items

Item Description:


<input type="checkbox"/> Agreement	<input type="checkbox"/> Professional Service Contract	<input type="checkbox"/> Amendment	<input type="checkbox"/> Change Order
<input type="checkbox"/> BCD	<input type="checkbox"/> NYSDOT Agreement	<input type="checkbox"/> Contract Documents	<input type="checkbox"/> Addendum
<input type="checkbox"/> Recommendation for Award of Contract	<input type="checkbox"/> Recommendation to Reject Bids		
<input type="checkbox"/> Request for Proposals			
<input checked="" type="checkbox"/> Other <u>Amendment to the Code of Ethics Policy and Approval of FDS and related items.</u>			

Action Requested:


<input type="checkbox"/> Board Authorization to Execute	<input checked="" type="checkbox"/> Legal Approval
<input type="checkbox"/> Board Authorization to Award	<input type="checkbox"/> Execution by the Chairman
<input type="checkbox"/> Board Authorization to Advertise for Bids	<input type="checkbox"/> Execution by the Secretary to the Authority
<input type="checkbox"/> Board Authorization to Solicit Request for Proposals	
<input checked="" type="checkbox"/> Other <u>Approval of Policy No. 11.10, 2021 Financial Disclosure Statement, 2021 Vendor List and 2021 Employee Communications.</u>	

Approvals Needed:

APPROVED AS TO CONTENT:

<input type="checkbox"/> Other (if Applicable)	_____	Date: _____
<input type="checkbox"/> Chief Operating Officer	_____	Date: _____
<input type="checkbox"/> Executive Engineer	_____	Date: _____
<input type="checkbox"/> Director of Administration	_____	Date: _____
<input type="checkbox"/> Risk Manager	_____	Date: _____
<input type="checkbox"/> Chief Financial Officer	_____	Date: _____
<input checked="" type="checkbox"/> Legal		Date: <u>2/15/2022</u>

APPROVED FOR BOARD RESOLUTION:

<input checked="" type="checkbox"/> Secretary to the Authority		Date: <u>2/15/22</u>
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Remarks: _____

Resolution Date: _____ **Item No:** _____

**ERIE COUNTY WATER AUTHORITY
HR Policies/Procedures**

Re:	CODE OF ETHICS & CONFLICTS OF INTEREST POLICY	Policy No.	11.10
<hr/>		Adopted:	06/16/05
Application:	All Employees	Amended:	05/11/06
			04/03/08
			05/21/09
			01/26/12
			08/22/13
			03/26/19
			03/24/20
			01/21/21
			03/25/21
			02/23/22

**ARTICLE I
DEFINITIONS**

Section 1: Definitions.

- (a) “Ad hoc member” means a committee member who is not a duly appointed Commissioner and who is appointed to serve as a non-voting committee member pursuant to the Authority’s By-laws.
- (b) “Authority” means the Erie County Water Authority.
- (c) “Board” means the Authority’s Board of Commissioners.
- (d) “Chief Operating Officer” means the individual whose position is defined under the job specifications for Executive Director.
- (e) “Code” means this Code of Ethics and Conflicts of Interest Policy.
- (f) “Employee” includes any Authority employee holding either a full-time position or a regular, part-time position.
- (g) “Ethics Committee” means a standing committee of the Board, as described in Article IV, section 4 of the Authority’s By-Laws.
- (h) “First-degree family members” mean parents, step-parents, children, step-children, and siblings, including half- and step-siblings.

- (i) “General Counsel” means the individual whose position is defined under the job specifications for Attorney.
- (j) “Immediate family” means any first-degree family member related by blood or marriage.
- (k) “Interested Person” means any member, ad hoc member, officer, or employee who has a direct or indirect personal financial interest in any matter pending before the Authority.
- (l) “Independent Ethics Panel” or “IEP” means the entity whose powers are proscribed in Article VI, section 4, sub-section (e) of the Authority’s By-Laws.
- (m) “Members” mean the Authority’s Commissioners, duly appointed pursuant to Public Authorities Law § 1053(1).
- (n) “Officers” mean the Chair, Vice Chair and Treasurer and other officers as may be appointed pursuant to Public Authorities Law § 1053(3), including but not limited to the Secretary to the Authority.
- (o) “Personal financial interest” means a financial interest benefiting a member, ad hoc member, officer, or employee, and/or his/her immediate family.
- (p) “Personal loan” means a loan to the member, ad hoc member, officer, or employee, or member of his/her immediate family.

ARTICLE II CODE OF ETHICS

Section 1: Purpose.

As a public benefit corporation, the Authority must conduct its operations in a manner that best serves the interests of its customers and the general public. Its mission is to provide the Authority’s customers with a plentiful supply of safe, high quality and affordable drinking water through reliable infrastructure.

The Authority expects its members, ad hoc members, officers, and employees to observe high ethical standards of conduct in the performance of their duties, and in compliance with all laws and regulations governing the Authority’s operation. This Code of Ethics shall serve as a guide for official conduct and is intended to enhance the ethical and professional performance of the Authority’s members, ad hoc members, officers, and employees and to preserve the public confidence in the Authority’s mission.

Section 2: Policy.

Members, ad hoc members, officers, and employees shall perform their duties with transparency and without favor, and shall refrain from engaging in outside matters of personal financial interest or of personal interest, including other employment, that could impair their independence of judgment, or prevent the proper exercise of one's official duties.

This Code is in addition to any and all other laws, restrictions, standards and provisions applicable to the conduct of the Authority's members, ad hoc members, officers, and employees.

Section 3: Standard of Conduct.

- (a) The Authority's members, ad hoc members, officers, and employees shall:
 - (1) Endeavor to perform the duties of their position to the best of their ability and in a spirit of service to all persons and concerns for which the Authority was created;
 - (2) Uphold the high standards of dedicated public service rendered over the years by Authority members, ad hoc members, officers, and employees;
 - (3) Support and encourage fellow employees in the proper execution of their duties;
 - (4) Address any question of conduct or regulation that may occur to either the Authority's General Counsel, or the Chair of the Independent Ethics Panel (IEP).
- (b) Members, ad hoc members, officers, and employees shall conduct themselves at all times in a manner that avoids an appearance that they can be improperly or unduly influenced, that they could be affected by the position of, or relationship with, any other party, or that they are acting in violation of the public trust.
- (c) Members, officers, and employees shall manage all matters within the scope of the Authority's mission independent of any other affiliations or employment. Members, including ad hoc members, officers, and employees shall strive to fulfill their professional responsibility to the Authority without bias and shall support the Authority's mission to the fullest.

Section 4: Prohibited Conduct.

- (a) The Authority's members, ad hoc members, officers, and employees shall not:
- (1) Directly or indirectly received any compensation or interest, financial or otherwise, or incurred any obligation, which would be a substantial conflict with the proper discharge of their duties with the Authority;
 - (2) Engage in other employment that might impair the independence of their judgment in the execution of their duties with the Authority;
 - (3) Disclose confidential information, acquired in the course of official duties or use such confidential information to further personal financial interests;
 - (4) Directly or indirectly solicit, accept or receive any gift, whether in the form of a promise, money, services, a loan, lodging, meals, entertainment or anything of value.
 - (5) Arrange for the extension of credit or renew an extension of credit in the form of a personal loan from the Authority.
- (b) Unless otherwise permitted by the IEP or the Ethics Committee, no immediate family member of a member, ad hoc member, officer, or employee may directly or indirectly solicit, accept, or receive any other items described in § 4(a)(4) of this Article.
- (c) Unless otherwise permitted by the IEP or the Ethics Committee, no member, ad hoc member, officer, employee nor an immediate family member of a member, ad hoc member, officer, or employee may engage in the following actions:
- (1) Speculating or dealing in equipment, supplies, or materials normally purchased by the Authority;
 - (2) Borrowing money from the Authority, suppliers, significant commercial customers, individuals or firms with whom the Authority does business (loans or mortgages from banks or individuals doing business with the Authority are exempt if the terms are at current rates and the customary collateral for such transactions is provided);
 - (3) Acquiring an interest in real estate in which it is known that the Authority also has a current or anticipated interest;

- (4) Misusing information to which the individual has access by reason of his or her position, including, but not limited to, disclosing confidential information (of a technical, financial or business nature) to others outside or inside the business (whether or not a consideration is received), or using such information for one's own interest or the interest of an immediate family member;
 - (5) Soliciting funds or other items of value from the Authority's vendors, suppliers or consultants for self-interest or for the benefit of any other organization, club or person, whether such other persons or entities are charitable, religious or profit-making;
 - (6) Serving as an officer, director, manager, consultant, volunteer, or an independent contractor with another company or business organization directly or indirectly related to the Authority without specific authorization from the Authority; and
 - (7) Legally representing, or exerting influence in favor of a current or potential vendor, including but not limited to, assisting in the drafting of applications, plans or proposals for Authority approval or submitting such applications, plans or proposals to the Authority.
- (d) The prohibited actions and activities set forth in this section do not encompass every situation that may lead to a conflict of interest.

ARTICLE III CONFLICTS OF INTEREST POLICY

Section 1: Purpose.

- (a) The purpose of this Conflicts of Interest Policy is to protect the Authority's interest when it is contemplating entering into a transaction or arrangement that might benefit the private interest of a member, ad hoc member, officer, or employee of the Authority. This policy is intended to supplement, but not replace, any applicable state laws governing conflicts of interest applicable to the Authority.
- (b) A conflict of interest is just one example of a violation of ethical conduct. This policy is intended to complement the Authority's Code of Ethics by providing specific procedures to deal with conflicts of interest. To the extent that a matter falls within the scope of both this policy and the Authority's Code of Ethics, the provisions of this Conflicts of Interest Policy shall govern.

Section 2: Prohibition against Conflicts.

- (a) Section 1068 of the New York Public Authorities Law sets forth the following requirements with respect to conflicts of interest:

It shall be a misdemeanor for any of the members of the authority, or any officer, agent, servant or employee thereof, employed or appointed by them to be in any way or manner interested directly or indirectly in the furnishing of work, materials, supplies or labor, or in any contract therefor which the authority is empowered by this act to make.

In the event the Authority discovers a violation of the above provision, the Authority shall conduct an investigation and, if warranted, report the offense to the Inspector General of the State of New York.

- (b) This Conflicts of Interest Policy provides additional guidance regarding actual or potential conflicts of interest, including circumstances not within the scope of Public Authorities Law § 1068.

Section 3: Personal Financial Interest.

- (a) A person has a personal financial interest if the person has, directly or indirectly, through business, investment or family:

- (1) an ownership or investment interest in, or employment with, any entity with which the Authority has a transaction or business arrangement; or
- (2) a compensation arrangement with any entity or individual with which the Authority has a transaction or arrangement; or
- (3) a potential ownership or investment interest in, or compensation arrangement with, any entity or individual with which the Authority is negotiating a transaction or arrangement.

- (b) Compensation includes direct and indirect remuneration as well as gifts or favors that are substantial in nature.

- (c) A personal financial interest is not necessarily a conflict of interest. No conflict of interest exists where a personal financial interest arises solely from an immediate family member that holds a clerical, ministerial or low-level management position with an existing or potential vendor, lacks the power to influence the relationship between the business and the Authority and did not obtain his or her position as a means to influence a member, ad hoc member, officer, or employee of the Authority.

- (d) A person who has a personal financial interest may have a conflict of interest only if the Board determines that a conflict of interest exists pursuant to the enforcement and hearing procedures set forth in Article V, § 2 of this Code.

Section 4: Duty to Report.

- (a) A member, ad hoc member, officer, or employee must immediately report to the Authority's General Counsel or to the IEP Chair gifts of any value, whether in the form of a promise or an offer to give money, services, a loan, or to provide lodgings, meals or entertainment.
- (b) An interested person must disclose the existence of his or her personal financial interest and all material facts surrounding the Financial Interest to the Authority's General Counsel and to the IEP.
- (c) If the Authority's General Counsel or the IEP have reasonable cause to believe an interested person has failed to disclose an actual or possible conflict of interest, they shall inform the interested person of the basis for such belief and afford him/her an opportunity to explain the alleged failure to disclose.
- (d) After disclosure of the personal financial interest, the General Counsel and the IEP will interview the interested person and conduct whatever investigation is warranted by the disclosure.
- (e) After exercising due diligence, the IEP will report its findings and recommendation to the Ethics Committee. The Ethics Committee will review such findings and recommendations. If the Ethics Committee determines further action should be taken, it will forward the matter to the Board.

Section 5: Standard of Review.

- (a) After exercising due diligence, if the Ethics Committee determines the Authority can obtain an equal or more advantageous transaction or arrangement with reasonable efforts from a person or entity that would not give rise to a conflict of interest, then it will forward the matter to the Board with its recommendation.
- (b) If the Ethics Committee determines an equal or more advantageous transaction or arrangement is not reasonably attainable under circumstances that would not give rise to a conflict of interest, then it will forward the matter for the Board to determine whether the transaction or arrangement should proceed or be terminated. A Board ruling to proceed

shall include a determination that the transaction or arrangement is in the Authority's best interest, is done for its own benefit and is fair and reasonable to the Authority.

ARTICLE IV EMPLOYMENT RESTRICTIONS

Section 1: One-Year Moratorium.

- (a) No person who has served as a member, officer or employee of the Authority shall within a period of one year after the termination of such service or employment appear or practice before the Authority or receive compensation for any services rendered by the member, officer or employee through or on behalf of any person, firm, corporation or association in relation to any case or transaction with respect to which such person was directly concerned, or participated in, during the period of his or her service with the Authority.
- (b) Notwithstanding the foregoing, the one-year moratorium shall not apply to (i) normal business issues arising as a result of the person's status as a water customer of the Authority and (ii) professional services provided by such person pursuant to a written agreement with the Authority, to the extent such agreement is otherwise consistent with this Code of Ethics.

Section 2: Nepotism Policy.

- (a) In no event shall an immediate family member of a member be hired during the term of the member.
- (b) An immediate family member of an ad hoc member, officer, or employee may be considered for a permanent position only if all of the following conditions are met:
 - (1) The ad hoc member, officer, or employee had no role in approving or appointing the immediate family member, pursuant to HR Policy No. 92 (Employment Opportunities Posting and Hiring); and
 - (2) The immediate family member is an appointment from a Civil Service List; or
 - (3) There will be no supervisory relationship between the immediate family member and the related ad hoc member, officer, or employee, and the immediate family member and the related member, ad hoc member, officer, or employee will not work in the same department.

- (c) If current members, ad hoc members, officers, or employees marry, it may be necessary for the Authority to reassign one or both individuals, particularly in the case of close working, or direct supervisory relationships.
- (d) An immediate family member may be considered for summer or temporary employment only if all of the following conditions are met:
 - (1) There will be no supervisory relationship between the immediate family member and the related ad hoc member, officer, or employee; and
 - (2) The immediate family member and the related ad hoc member, officer, or employee will not work in the same department.
- (e) In no event shall a related ad hoc member, officer, or employee participate in any decision to hire, promote, discipline, or discharge an immediate family member.
- (f) The effective date of this section is March 26, 2019. Immediate family members whose date of hire is before May 1, 2018 may continue in their current position or may be promoted despite the provisions set forth in this section.

**ARTICLE V
IMPLEMENTATION & ENFORCEMENT**

Section 1: Distribution.

The Code shall be reviewed annually by the Board and posted on the Authority's website. All members, ad hoc members, officers, and employees shall be given a copy of this Code upon appointment or commencement of employment and thereafter annually.

Section 2: IEP & Ethics Committee.

- (a) The Board designates the ad hoc members of the IEP as its Ethics Officers, who shall report to the Ethics Committee and Board.
- (b) The Ethics Committee shall prepare, review, update, and approve financial disclosure statements to be filed by members, ad hoc members, officers, and designated employees with the IEP.
- (c) The IEP shall have the following duties:

- (1) Interpret and make recommendations with regard to any questions or purported violations of this Code and any statutory ethical standards affecting members, ad hoc members, officers, employees or their immediate family;
 - (2) Counsel in confidence all members, ad hoc members, officers, employees, and their immediate family, who seek advice about ethical behavior;
 - (3) Receive and investigate complaints about possible conflicts of interest and ethics violations;
 - (4) Recommend the dismissal of any complaint found to be without substance;
 - (5) Prepare an investigation report of its findings and recommendations for the Ethics Committee to consider and to recommend such further action be taken by the Board;
 - (6) Record the receipts of gifts or gratuities of any kind, received by any member, ad hoc member, officer, employee or immediate family member, who shall notify the IEP within 48 hours of receipt of such gifts and gratuities.
- (d) Any reports or recommendations made by the IEP must list those ad hoc members who concur or dissent with the report or recommendation.
- (e) Members, ad hoc members, officers, and employees are required to report possible unethical behavior by a member, ad hoc member, officer, or employee to the IEP and the Authority's General Counsel. Such a complaint may be filed anonymously and protects the reporting member, ad hoc member, officer, or employee from retaliation. Any form of retaliation is prohibited under this Code and constitutes an ethical violation of this Code.
- (f) At its discretion, the Ethics Committee may recommend to the Board appropriate disciplinary action, which may include, but is not limited to, a reprimand, suspension or termination. No disciplinary action may be taken without affording the person due process to be heard and to respond to the complaint of unethical behavior. This hearing may also be subject to the applicable provisions, if any, of Civil Service Law § 75 or any applicable provisions of a collective bargaining agreement.

Section 3: Records of Proceedings.

The IEP shall keep records of all proceedings, including:

- (a) Names of the persons who disclosed or otherwise were found to have a personal financial interest in connection with an actual or possible conflict of interest, the nature of the personal financial interest, any action taken to determine whether a conflict of interest was present, and the Board's ruling, if any, as to whether a conflict of interest in fact existed.
- (b) Names of the persons who were present for discussions and votes relating to the transaction or arrangement, the content of the discussion, including any alternatives to the proposed transaction or arrangement, and a record of any votes taken or written rulings made in connection with the matter.

ARTICLE VI FINANCIAL DISCLOSURE STATEMENTS

Section 1: Erie County Board of Ethics.

- (a) Pursuant to Public Authorities Law § 2825 (3) and Article 18 of the General Municipal Law, members, officers, and designated employees must file an [annual financial disclosure statement](#) with the Erie County Board of Ethics on or before the fifteenth day of May with respect to the preceding calendar year.
- (b) A member, officer, or designated employee who has timely filed an application for automatic six-month extension with the Internal Revenue Service ("IRS") may file a supplemental statement of financial disclosure seven days after the expiration of the six-month automatic extension with the IRS. This six-month extension does not extend the May 15th deadline but does allow an individual to file a supplemental financial statement, correcting any representations made in the initial financial statement.
- (c) The following members, officers, and employees are required to file annual disclosure statements with the Erie County Board of Ethics: Commissioners, the Secretary of the Authority, the Chief Operating Officer, the Chief Financial Officer, the General Counsel, and Executive Engineer.
- (d) The following members, officers, and employees are required to file an [Employee Disclosure](#) Form with the Erie County Board of Ethics within 10 days of appointment: Commissioners, the Secretary of the Authority, the Chief Operating Officer, the Chief Financial Officer, the General Counsel, and Executive Engineer.

Section 2: In-House Financial Disclosure Statements

- (a) The members, ad hoc members, officers, and designated employees are required to file an in-house financial disclosure statement with the

Authority's IEP within ten days of appointment or commencement of employment and thereafter annually.

- (b) In-house financial disclosure statements shall be filed by all members, all employees holding an "exempt" job title, and other employees holding certain job titles:

(1) Exempt Job Titles

- i. Associate Attorney;
- ii. Associate Attorney RPT;
- iii. Chief Financial Officer
- iv. Chief Operating Officer
- v. Comptroller;
- vi. Comptroller (Part time);
- vii. General Counsel
- viii. Executive Engineer;
- ix. Secretary to the Authority
- x. Senior Associate Attorney.

(2) Designated Job Titles

- i. Administrative Assistant;
- ii. Assistant Business Office Manager;
- iii. Assistant Manager of Accounting Services;
- iv. Automotive Mechanic Crew Chief;
- v. Business Office Manager;
- vi. Cash Manager;
- vii. Chemist and Chief Water Treatment Plant Operator;
- viii. Chief Business Officer Manager-Budget Director;
- ix. Chief Customer Service Representative;
- x. Chief Instrument and Control System Specialist
- xi. Claims Representative-Risk Manager;
- xii. Construction Inspector;
- xiii. Coordinator of Employee Relations;
- xiv. Deputy Administrative Director
- xv. Deputy Associate Attorney;
- xvi. Deputy Director/Chief Financial Officer;
- xvii. Director of Administration;
- xviii. Director of Cybersecurity and Information Technology,
- xix. Director of Employee Relations;
- xx. Director of Equal Employment Opportunity (ECWA);
- xxi. Director of Human Resources;
- xxii. Director of Purchasing & Inventory Management;
- xxiii. Director of Operations;
- xxiv. Director of Water Quality;
- xxv. Distribution Engineer;

- xxvi. Electrical Engineer;
- xxvii. Employee Benefits Specialist;
- xxviii. Manager of Accounting Services;
- xxix. Municipal Liaison ECWA (Part time);
- xxx. Production Engineer;
- xxxi. Production Technician;
- xxxii. Security Officer (ECWA);
- xxxiii. Senior Distribution Engineer;
- xxxiv. Senior Micro Technical Support Specialist (ECWA);
- xxxv. Senior Production Engineer;
- xxxvi. Senior Stores Clerk;
- xxxvii. Any employee participating in a bid opening; and
- xxxviii. Any other position designated by Board resolution.

- (c) The General Counsel or the Independent Ethics Panel may direct any other employee who procures goods and services on the Authority's behalf to file a financial disclosure statement.
- (d) All members, ad hoc members, officers, and designated employees have the ongoing obligation to immediately report any conflict of interest that may arise for them or for any of their immediate family members.
- (e) Members, ad hoc members, officers, and designated employees must annually file an in-house financial disclosure statement with the IEP on or before the fifteenth day of May with respect to the preceding calendar year. In-house financial disclosure statements shall be placed in a sealed envelope and addressed to the Independent Ethics Panel, c/o Legal Department, 295 Main Street, Room 350, Buffalo, New York 14203.
- (f) The Authority shall retain all in-house financial disclosure statements for a period of seven years from the required filing date.

Good Morning:

As part of the Erie County Water Authority's Code of Ethics Policy, you are required to file an in-house financial disclosure statement with the Authority's Independent Ethics Panel within ten days of appointment or commencement of employment and thereafter annually. In that regard, attached please find the following:

1. [Policy No 11.10 - Code of Ethics & Conflict of Interest Policy](#), revised on February 23, 2022.
2. [Policy No. 16.0 – Whistleblower Protection Policy](#)
3. [2021 ECWA Financial Disclosure Statement](#), a PDF fillable form that can be completed on your computer, then printed and signed.
4. [2021 ECWA Vendor List](#)

PLEASE NOTE: If you have any questions regarding Policy No. 11.10, you may email the Independent Ethics Panel (IEP@ecwa.org) or you may contact Associate Attorney Jackie Mattina, by leaving a message at extension 8452 or by email at jmattina@ecwa.org. If you leave a voice message, please give your name, phone number and the best time to return your call.

**You are required to return your completed
2021 ECWA Financial Disclosure Statement no later than May 15, 2022.**

You will be mailed at your home a hard copy of this paperwork together with an envelope in which you are to place your **completed, signed financial disclosure statement**. Please seal your financial disclosure statement in the enclosed envelope, then either return it to work or mail and postmark it no later than **May 14, 2022** to the **Independent Ethics Panel, c/o Legal Department, 295 Main Street, Room 350, Buffalo, New York 14203**. All envelopes will be time-stamped when received.

Thank you.

INDEPENDENT ETHICS PANEL

Raymond Herman, Ad Hoc Member
Brittanylee Penberthy, Ad Hoc Member
Robert Freeman, Ad Hoc Member



Erie County Water Authority

295 Main Street • Room 350 • Buffalo, NY 14203-2494
716-849-8484 • Fax 716-849-8463

Independent Ethics Panel

Raymond Herman, Ad Hoc Member

Robert Freeman, Ad Hoc Member

BrittanyLee Penberthy, Ad Hoc Member

TO: Applicable ECWA Members, Officers and Employees

FROM: Independent Ethics Panel

DATED: April 1, 2022

RE: 2021 ECWA Financial Disclosure Statement

As part of the Erie County Water Authority's Code of Ethics Policy, you are required to file an in-house financial disclosure statement with the Authority's Independent Ethics Panel within ten days of appointment or commencement of employment and thereafter annually. In that regard, enclosed please find the following:

1. Policy No 11.10 - Code of Ethics & Conflict of Interest Policy.
2. Policy No. 16.0 – Whistleblower Protection Policy
3. 2021 ECWA Financial Disclosure Statement, with a PDF fillable form available online for you to complete, print and sign.
4. 2021 ECWA Vendor List

PLEASE NOTE: If you have any questions regarding Policy No. 11.10, you may email the Independent Ethics Panel (IEP@ecwa.org) or you may contact Associate Attorney Jackie Mattina, by leaving a message at extension 8452 or by email at jmattina@ecwa.org. If you leave a voice message, please give your name, phone number and the best time to return your call.

**You are required to return your completed
2021 ECWA Financial Disclosure Statement no later than May 15, 2022.**

Enclosed please find a return envelope in which you are to place and seal your **completed, signed financial disclosure statement**. It is very important your name is written or typed in the top box for **each** page. Please return the financial disclosure statement in the sealed envelope and return it to work, or mail and postmark it no later than May 14, 2022 to the **Independent Ethics Panel, c/o Legal Department, 295 Main Street, Room 350, Buffalo, New York 14203**. All envelopes will be time-stamped when received.



DRAFT

Erie County Water Authority

295 Main Street • Room 350 • Buffalo, NY 14203-2494
716-849-8484 • Fax 716-849-8463

Independent Ethics Panel (IEP)

FINANCIAL DISCLOSURE STATEMENT For Calendar Year 2021

Name:

First

Middle

Last

Position:

Business Email:

Business Phone No:

Home Address:

Street

City

Zip

ACKNOWLEDGEMENTS

Please acknowledge the following statements by checking the appropriate boxes.

I hereby acknowledge receiving & reading a copy of Policy No. 11.10, entitled "Code of Ethics & Conflicts of Interest Policy" and Policy No. 16.0, "Whistleblower Protection Policy".

PLEASE NOTE: If you have any questions regarding Policy No. 11.10 you may email the Independent Ethics Panel (IEP@ecwa.org) or you may contact Associate Attorney Jackie Mattina, at extension 8452 or by email at jmattina@ecwa.org.

I hereby acknowledge that I have complied with the provisions of Policy No. 11.10.

If you have not checked each box in this section, please give an explanation on page 6.

STANDARD OF CONDUCT

(ARTICLE II, § 3)

Please affirm the following statements by checking the appropriate boxes.

I affirm that I have endeavored and will endeavor to perform the duties of my position to the best of my ability and in a spirit of service to all persons and concerns for which the Erie County Water Authority ("ECWA") was created.

DRAFT

I affirm that I have upheld and will uphold the high standards of dedicated public service rendered over the years by ECWA members, officers and employees.

I affirm that I have supported and encouraged, and will support and encourage, my fellow employees in the proper execution of their duties.

I affirm that I will seek the advice of the Authority's General Counsel, or the members of the Independent Ethics Panel ("IEP") when I have a question of conduct or about the policy.

I affirm that I have not engaged in, and will not engage in, any conduct, at any time, which suggests or demonstrates I could be improperly or unduly, influenced to violate my public duty or the public trust.

I affirm and acknowledge my duty to immediately report to the Authority's General Counsel or to the IEP Chair gifts of any value, whether in the form of a promise or an offer to give money, services, a loan, or to provide lodgings, meals or entertainment.

I affirm that I have supported and will support the ECWA mission to the fullest, that I manage all matters within the scope of that mission independent of any other affiliations or employment, and that I strive to fulfill my professional responsibility to ECWA.

If you have not checked each box in this section, please give an explanation on page 7.

PROHIBITED CONDUCT

(ARTICLE II, § 4)

Please affirm the following statements by checking appropriate boxes.

PLEASE NOTE: You must review the Vendor List provided to you with this Financial Disclosure Statement before you complete the remaining sections of this form.

I affirm that I have **not**:

Directly or indirectly received any compensation or interest, financial or otherwise, or incurred any obligation, which would be a substantial conflict with the proper discharge of my duties.

Engaged in other employment that might impair the independence of my judgment in the execution of my ECWA duties.

Disclosed confidential information, acquired in the course of my official duties or used such confidential information to further a personal financial interest.

DRAFT

PLEASE NOTE: Personal financial interest means a financial interest benefiting you or an immediate family member. An immediate family member means any first-degree family member related by blood or marriage. First-degree family members mean parents, step-parents, children, step-children, and siblings, including half- and step-siblings

Directly or indirectly solicited, or accepted or received any gift, whether in the form of a promise, money, services, a loan, lodging, meals, entertainment, or anything of value.

Arranged for the extension of credit or renewed an extension of credit in the form of a personal loan from the Authority.

Unless otherwise permitted by the Independent Ethics Panel or Ethics Committee, I affirm to the best of my knowledge:

No immediate family member has directly or indirectly solicited, accepted, or received any gift, whether in the form of a promise, money, services, a loan, lodging, meals, entertainment, or anything of value.

Neither I nor any member of my immediate family has engaged in speculating or dealing in equipment, supplies or materials normally purchased by ECWA.

Neither I nor any member of my immediate family has borrowed money from ECWA, or any suppliers, significant commercial customers, individuals or firms with whom ECWA does business.

PLEASE NOTE: Loans or mortgages from banks or individuals doing business with the Authority are exempt if the terms are at current rates and the customary collateral for such transactions is provided.

Neither I nor any member of my immediate family has acquired an interest in real estate in which it is known that ECWA also has a current or anticipated interest.

Neither I nor any member of my immediate family has misused information to which I have had access by reason of my position – such as by disclosing confidential information of a technical, financial or business nature to others outside or inside ECWA regardless of whether such information was disclosed for my own interest or the interest of an immediate family member.

Neither I nor any member of my immediate family has solicited funds or other items of value from ECWA vendors, suppliers or consultants.

Neither I nor any member of my immediate family has served as an officer, director or manager with another company or business organization directly or indirectly doing business with ECWA without specific authorization from ECWA.

DRAFT

Neither I nor any member of my immediate family legally represents, or exerts influence in favor of, a current or potential ECWA vendor including, but not limited to, assisting in the drafting of applications, plans or proposals for ECWA approval or submitting such applications, plans or proposals to ECWA.

If you have not checked each box in this section, please give an explanation on page 7.

**CONFLICTS OF INTEREST
(ARTICLE III § 3)**

PLEASE NOTE:

- The questions in this CONFLICT OF INTEREST section do not relate to a domestic or commercial ECWA water customer.
- Answer each question to the best of your knowledge after making a diligent inquiry of immediate family members.
- Any unanswered questions, will be treated as if you answered “Yes.”

Please check “Yes” or “No” to the following questions

YES NO

Do you or an immediate family member, have any ownership or investment interest in an entity with which ECWA does business or has entered into a transaction and/or business arrangement?

Are you or an immediate family member an officer, director, manager, consultant, volunteer, or an independent contractor of any entity or individual having business dealings with ECWA or having engaged in a transaction and/or business arrangement with ECWA?

Do you or an immediate family member hold any position with an entity or individual, doing business with ECWA or otherwise engaged in a transaction and/or business arrangement with ECWA?

Have you or an immediate family member accepted compensation from an entity with which, or individual with whom, ECWA has done any business or has engaged in a transaction and/or business arrangement?

Do you or an immediate family member, through business or investment, have a potential ownership or investment interest with an entity or individual, negotiating a transaction and/or business arrangement with ECWA?

DRAFT

Do you or an immediate family member, through business or investment, have pending compensation arrangement with an entity or individual, negotiating a transaction and/or business arrangement with ECWA?

PLEASE NOTE:

- Compensation includes direct and indirect remuneration as well as gifts or favors that are substantial in nature.
- A personal financial interest is not necessarily a conflict of interest. No conflict of interest exists where a personal financial interest arises solely from an immediate family member that holds a clerical, ministerial or low-level management position with an existing or potential vendor, lacks the power to influence the relationship between the business and the Authority and did not obtain his or her position as a means to influence a member, ad hoc member, officer, or employee of the Authority.
- A person who has a personal financial interest may have a conflict of interest only if the Board determines that a conflict of interest exists pursuant to the enforcement and hearing procedures set forth in Article V, § 2 of Policy No. 11.10

If you have answered “Yes” or failed to answer any question in this section, please give an explanation on page 7.

IF YOU ARE AN ATTORNEY LICENSED TO PRACTICE LAW IN THE STATE OF NEW YORK, PLEASE ANSWER THE FOLLOWING QUESTIONS:

YES NO

If you have a private practice, do you represent any county, city, town or village (i.e. municipal corporation) or any Indian nation or tribe?

If yes, please list which municipal corporation(s) and/or Indian nation(s) or tribe(s) you represent:

**NEPOTISM POLICY
(ARTICLE IV § 2)**

Please check "Yes" or "No" to the following questions

YES NO

Have any of your immediate family members worked for ECWA during the 2021 calendar year?

If you answered "Yes," please answer the following:

YES NO

Did you have any role in approving or appointing an immediate family member to a position with ECWA?

Was the immediate family member appointed from a Civil Service list?

Do you directly supervise an immediate family member?

Is an immediate family member supervised by someone over whom you have direct or indirect supervision?

Does an immediate family member work in the same department as you?

Please list the names of any immediate family member who works or worked for ECWA in calendar year 2021.

ADDITIONAL INFORMATION

If necessary, you may attach additional pages

Acknowledgement Section:

DRAFT

Standard of Conduct Section:

Prohibited Conduct Section:

Conflicts of Interest Section:

ERIE COUNTY BOARD OF ETHICS
(ARTICLE VI§ 1)

If you are a Commissioner, the Secretary of the Authority, the Chief Operating Officer, the Chief Financial Officer, General Counsel or Executive Engineer, please answer the following question.

Please check “Yes” or “No” to the following questions

YES NO

Have you filed with the Erie County Board of Ethics the Annual Statement of Financial Disclosure for the County of Erie for Calendar Year 2021?

Please indicate the date you filed:

DRAFT

Return this Financial Disclosure Statement by May 15, 2022.

I affirm, under penalty of perjury, all information in this financial disclosure statement is true to the best of my knowledge.

Date _____

Signature _____

Acknowledgment

I, _____, received the letter, dated April 1, 2022 from the Independent Ethics Panel (IEP), along with a copy of the 2021 ECWA Financial Disclosure Statement, Policy No. 16.0 (Whistle-blower Protection Policy, and Policy No. 11.10 (Code of Ethics & Conflicts of Interest Policy).

I affirm, under penalty of perjury, that I have reviewed and read the materials provided to me with this Acknowledgment.

Employee Signature _____ Date _____

Print Name: _____

For your convenience, this Financial Disclosure Statement may be filled out electronically but requires an original signature for submission. Please submit your statement in a sealed envelope to the Independent Ethics Panel, c/o Legal Department, 295 Main Street, Room 350, Buffalo, New York 14203. Your name must be placed on the outside of the sealed envelope. All envelopes will be time-stamped when received. Envelopes will be open by members of the Independent Ethics Panel.

For IEP Use Only

Reviewed by: _____ Date Reviewed: _____ Needs Follow-Up: _____ Date Approved by IEP: _____

PAYMENTS MADE TO VENDORS IN 2021

VEN NO	VENDOR NAME	PAID
V5386	4TH GENERATION CONSTRUCTION INC	2,590,771.74
V7867	716 SITE CONTRACTING, INC.	4,430,877.39
V0095	ABC LOCKSMITH SERVICE, INC	2,252.27
V3291	ABSOLUTE STANDARDS INC	1,510.00
V0067	ACME BEARINGS CORP	2,154.23
V3216	ADMAR SUPPLY CO INC	4,846.82
V8736	ADVANCE AUTO PARTS PROFESSIONAL	8,679.02
V2303	AIR SCIENCE USA LLC	9,491.00
V3329	ALTERNATIVE INFORMATION SYSTEMS INC	21,970.00
V7578	AMERICAN SHORING INC	1,256.00
V3331	AMREX CHEMICAL CO INC	1,930.05
V1681	ANDERSON EQUIPMENT COMPANY	1,872.99
V3441	AP PROFESSIONALS OF WNY, LLC	30,801.00
V0182	APPLIED INDUSTRIAL TECHNOLOGIES INC	10,429.15
V3332	APPLIED SPECIALTIES INC	53,774.55
V3407	ARCADIS U.S.,INC.	950,336.02
V4190	ARROW SHEET METAL WORKS, INC.	324,783.62
V3172	ASHLAND PEST CONTROL INC	1,600.00
V3238	AUTOMATECH INC - GE FANUC	54,064.08
V3041	AUTOMATIC POWER INC	700.00
V0102	A-VERDI LLC	7,409.00
V3409	AZTECA SYSTEMS, INC.	95,215.00
V3443	AZUGA INC	556.99
V3959	BARCLAY DAMON, LLP	45,792.50
V3790	BARTON & LONGUIDICE	184,285.23
V0289	BASIL FORD INC (QUICK LANE TIRE & AUTO)	65,691.47
V1039	BDI INTERNATIONAL (BDI)	2,070.89
V3974	BEYER OF MORRISTOWN, LLC	80,386.65

VEN NO	VENDOR NAME	PAID
V0115	BIEL'S INFORMATION TECH SYSTEMS	1,095.90
V3657	BISON LABORATORIES INC	16,992.00
V3699	BLACKBURN MANUFACTURING CO	3,335.00
V0155	BLAIR SUPPLY CORPORATION	23,148.14
V3674	BOBCAT OF BUFFALO	18,798.40
V4237	BROWN AND CALDWELL	84,020.20
V3958	BUFFALO BACKFLOW, INC.	575.00
V0129	BUFFALO BEARINGS INC (TONAWANDA TOOL)	4,145.54
V0249	BUFFALO MEDICAL GROUP PC	600.00
V3870	BURT PROCESS EQUIPMENT INC	2,063.89
V3965	BXI CONSULTANTS	755.37
V8612	C R M CONTRACTING INC	81,212.46
V9707	C S BUSINESS SYSTEMS, INC	217,701.00
V0427	C S X TRANSPORTATION	2,713.00
V8906	CAMBRIDGE ISOTOPE LABORATORIES INC	1,380.70
V2534	CAMPIONE SAFETY	6,530.00
V0467	CARAHSOFT TECHNOLOGY CORPORATION	8,389.00
V2629	CARBON ACTIVATED CORP	108,707.50
V8641	CARUS CORPORATION	58,106.18
V2593	CATCO	1,027,770.55
V2532	CDW GOVERNMENT	66,708.14
V2821	CHA CONSULTING, INC	238,336.43
V0494	CHILD & FAMILY SERVICES	3,639.33
V0426	CHUDY PAPER COMPANY, INC.	1,256.78
V2604	CINTAS CORPORATION - SAFETY TRAINING	28,697.90
V2811	CLARK PATTERSON LEE	177,995.20
V8814	CLEARVIEW MAINTENANCE CORP	1,865.00
V0302	CMH COMPANY INC	674,616.31
V4534	COMPASS MINERALS	3,120.87
V7962	CORE & MAIN LP	59,697.51
V0331	CORPORATE SCREENING & INVESTIGATIVE GRP	7,730.40
V0346	CORR DISTRIBUTORS INC	2,699.68

VEN NO	VENDOR NAME	PAID
V0347	COUNTY LINE STONE CO INC	515,677.49
V8619	CROSS CONNECTION CONTROL FOUNDATION, INC	1,850.00
V0474	CROSS FILTRATION	6,000.00
V8631	CSEA EMPLOYEE BENEFIT FUND	121,596.31
V0528	DELACY FORD INC	230,720.24
V4799	DELL MARKETING LP	92,008.16
V4731	DELTA SONIC DETAIL SHOP INC	1,555.00
V4811	DIDONATO ASSOCIATES PE PC	293,342.88
V0520	DIVAL SAFETY EQUIPMENT INC	38,478.04
V4456	DJM CONTRACTING, INC.	2,568,624.69
V4452	DN TANKS INC.	622,083.60
V0508	DOBMEIER JANITOR SUPPLY INC	1,383.72
V4844	DRESCHER & MALECKI LLP	35,845.00
V0700	E & R GENERAL CONSTRUCTION INC	2,111,338.73
V2405	E 3 COMMUNICATIONS INC	84,000.00
V2134	E.H.WACHS COMPANY	67,543.14
V5187	EATON CORPORATION	63,573.92
V0601	EATON OFFICE SUPPLY CO INC	2,337.65
V5159	EDS TIRE SERVICE INC	12,066.38
V5189	EL-DON BATTERY POST INC	5,769.40
V1903	ELLICOTT GROUP LLC	253,833.63
V2486	ENVIROOLUTIONS, LLC	258,920.00
V5102	ENVIRONMENTAL SYSTEMS RESEARCH INST INC	22,261.00
V4236	ENZO LIFE SCIENCES INC	1,670.00
V0615	ERB CO INC	6,165.04
V5158	ERDMAN ANTHONY AND ASSOCIATES INC	395,089.75
V6880	EUROFINS EATON ANALYTICAL, INC.	730.00
V2498	EVERBRIDGE INC.	33,618.00
V4121	EVERETT J PRESCOTT INC	13,085.60
V8108	EVOQUA WATER TECHNOLOGIES LLC(*USE #17)	1,733.26
V8310	F.W. WEBB CO. -WATERWORKS	11,901.30
V0786	FASTENAL COMPANY	74,835.00

VEN NO	VENDOR NAME	PAID
V8012	FCX PERFORMANCE	35,424.87
V5300	FELLING TRAILERS INC	3,255.89
V5279	FERGUSON ELECTRIC SERVICE CO INC	577,728.12
V5350	FERRELLGAS LP	1,670.91
V3063	FERRY INC	1,073.98
V5387	FIRSTLIGHT	190,311.13
V0708	FISHER SCIENTIFIC COMPANY	34,220.11
V2015	FLEETPRIDE(UNIVERSAL JOINT SALES CO INC)	5,446.13
V0721	FLUID KINETICS INC	3,573.00
V5228	FM COMMUNICATIONS INC	5,216.16
V0723	FREDERICK MACHINE REPAIR INC	25,722.68
V5588	GEITER DONE OF WNY, INC.	366,840.67
V0853	GENERAL WELDING & FABRICATING INC	755.88
V5702	GENESEE VALLEY FORD LLC	122,134.00
V0856	GENUINE PARTS COMPANY	14,755.81
V5577	GHD CONSULTING ENGINEERS, LLC	454,454.78
V5697	GLOBAL SIGNAL ACQUISITIONS LLC	8,786.02
V4295	GLOBALSECURITYIQ LLC	39,213.50
V0838	GOODYEAR SERVICE STORES	34,757.85
V5462	GOVERNMENT FINANCE OFFICERS ASSOCIATION	875.00
V6066	GP JAGER, INC	2,246.97
V0819	GRAYBAR ELECTRIC COMPANY INC	33,964.66
V5565	GREATER NIAGARA MECHANICAL INC	116,921.54
V5536	GREENMAN - PEDERSON, INC	357,930.30
V0817	GROVE ROOFING SERVICES INC	11,038.87
V0934	HACH COMPANY	176,542.96
V7042	HANES SUPPLY INC	14,353.73
V7945	HARRINGTON PLASTICS	3,434.19
V0990	HARRIS BEACH PLLC	28,581.32
V0989	HAZEN AND SAWYER	278,935.98
V7045	HEALTHWORKS-WNY LLP	22,641.90
V3054	HELPSYSTEMS, LLC	7,306.65

VEN NO	VENDOR NAME	PAID
V0988	HIGH PURITY STANDARDS LLC	1,711.75
V0962	HI-TECH SERVICES INC	297,021.00
V7067	HOHL INDUSTRIAL SERVICES INC	117,034.50
V0977	HYDROVERGE	9,012.00
V5822	IDEXX DISTRIBUTION INC	66,781.70
V5929	INDUSTRIAL SCIENTIFIC	29,337.96
V5915	INFORMATION MANAGEMENT SERVICES	5,229.00
V8905	INSIGHT PUBLIC SECTOR, INC.	7,617.11
V1009	IRISH CARBONIC & WELDING CORP	4,256.36
V5905	IRON MOUNTAIN INFORMATION MANAGEMENT INC	24,189.33
V5936	IRTH SOLUTIONS, LLC	42,625.00
V6069	JACKSON WELDING & GAS PRODUCTS	3,059.35
V1056	JAMESTOWN COMMUNITY COLLEGE	9,802.00
V6021	JEM ENTERPRISES	4,313.62
V1060	JET ACTION INC	2,589.83
V3905	JIM BARNARD CHEVROLET INC	158,144.45
V6005	JIMS TRUCK PLAZA	689.29
V0255	JOE BASIL CHEVROLET INC	38,505.86
V4931	JOHNSON CONTROLS	13,722.64
V1062	JOHNSON CONTROLS, INC	9,311.25
V1053	JONES CHEMICALS INC	494,084.60
V1101	K & S CONTRACTORS SUPPLY INC	262,104.80
V1102	KAMAN AUTOMATION INC.	25,565.47
V6126	KAMINSKI & SONS TRUCK EQUIPMENT	11,748.18
V1121	KANDEY COMPANY INC	1,104,030.69
V1165	KB GRAPHICS	623.75
V6209	KEMIRA WATER SOLUTIONS INC	405,412.57
V6205	KENWORTH NORTHEAST GROUP, INC.	274,140.02
V6222	KEYSTONE PRECISION INSTRUMENTS	4,108.90
V1168	KONE INC	40,211.00
V0462	KOOLTRONIC, INC.	3,899.86
V1158	KRACKELER SCIENTIFIC INC	33,217.75

VEN NO	VENDOR NAME	PAID
V6162	KRAVITCH MACHINE COMPANY	1,182.24
V1138	KURK FUEL COMPANY	81,528.41
V1254	LABELLA ASSOCIATES DPC	474,744.32
V6449	LABOR-MANAGEMENT HEALTHCARE FUND	4,966,399.94
V6401	LAKELANDS CONCRETE PRODUCTS INC	2,066.37
V1221	LAWLEY SERVICE INC	1,239,151.14
V6245	LAWSON PRODUCTS, INC.	4,816.62
V6493	LEDGE CREEK DEVELOPMENT INC	1,522,183.66
V1326	LINDE GAS & EQUIPMENT INC (PRAXAIR)	3,150.56
V1214	LOCK CITY SUPPLY INC	381,272.86
V6453	LOWES COMPANIES INC	4,917.38
V6752	M K S PLUMBING CORP	8,523.59
V2832	MARK CERRONE INC	167,237.99
V2207	MARS COMPANY	1,486.66
V6990	MASIELLO, MARTUCCI, CALABRESE & ASSOC.	60,050.00
V6513	MATRIX IMAGING SOLUTIONS, INC	77,696.47
V1262	MCMASTER-CARR SUPPLY COMPANY	545.07
V6996	METRO CONTRACTING & ENVIRONMENTAL INC	2,142.47
V6966	MICROSOFT AZURE	93,717.75
V6811	MIDWAY INDUSTRIAL SUPPLY	1,906.00
V4908	MILTON-CAT	394,119.50
V6666	MODERN DISPOSAL SERVICES INC	143,221.49
V2794	MOLEY MAGNETICS INC	29,676.36
V6645	MOLLENBERG - BETZ INC	48,390.74
V6864	MSC INDUSTRIAL SUPPLY CO INC	23,622.06
V5995	MUTUAL OF OMAHA	32,219.71
V8023	NATIONAL BUSINESS INSTITUTE INC	592.00
V8506	NATIONAL OVERHEAD DOOR INC	6,518.09
V1403	NEPTUNE TECHNOLOGY GROUP INC	139,300.00
V4512	NEW FRONTIER EXCAVATING & PAVING, INC	4,600,130.60
V8576	NEW YORK RURAL WATER ASSOCIATION	600.00
V8549	NIAGARA COATINGS SERVICES INC	105,631.50

VEN NO	VENDOR NAME	PAID
V8588	NIAGARA SCIENTIFIC PRODUCTS	1,200.00
V4225	NRG ENERGY INC	11,023.56
V1424	NUSSBAUMER & CLARKE INC	350,283.22
V2305	NYE AUTOMOTIVE GROUP	34,736.00
V5606	OCCUPATIONAL SAFETY & ENVIRONMENTAL ASSC	4,575.00
V1524	ORGANOMATION ASSOCIATES INCORPORATED	3,441.00
V5676	OSC EQUIPMENT SERVICES INC	4,650.00
V4138	P&A ADMINISTRATIVE SERVICES INC	2,617.60
V6981	P-A-M CONSULTING SERVICE, INC.	685.00
V4224	PCS PUMP AND PROCESS INC	94,966.27
V4284	PEAK SCIENTIFIC INC	4,708.47
V1610	PERTECH	34,388.86
V8175	PHENOMENEX INC	2,566.00
V8361	PHENOVA INC	27,338.00
V1586	PHILIPPS BROS SUPPLY INC	17,357.91
V4069	PINTO CONSTRUCTION SERVICES INC	20,218.58
V7170	PIONEER PUMP SYSTEMS INC	64,790.00
V4239	PMG CONSULTING INC	9,968.80
V1559	POLLARDWATER	16,424.75
V1560	POOLEY, INC.	6,465.58
V7189	PRECISION SCALE	4,375.00
V6947	PRO BUSINESS SUPPLY	3,701.00
V4132	PROVANTAGE CORPORATION	1,000.00
V8114	R.B. U'REN EQUIPMENT INC.	53,411.50
V1666	R.M. HEADLEE CO., INC	30,739.08
V7226	RAFTELIS ENVIRONMENTAL CONSULTING GROUP	19,347.50
V4234	RAILPROS FIELD SERVICES INC	5,000.00
V7319	RAZ-LEE SECURITY	3,600.00
V5046	RED WING SHOES	4,867.90
V7133	REGIONAL INTERNATIONAL OF WNY INC	46,360.34
V8096	RICOH USA INC(FORMERLY IKON OFFICE)	10,730.08
V5055	RITEC	15,437.38

VEN NO	VENDOR NAME	PAID
V1685	ROBERT-JAMES SALES INC	919.06
V5042	ROSEMOUNT INC	26,010.67
V1671	ROSS VALVE MANUFACTURING CO INC	7,673.82
V7320	ROUTE 5 BOOTS & SHOES	8,533.98
V1683	RUSINIAKS SERVICE INC	4,451.00
V7286	RUSSO DEVELOPMENT INC	4,161,126.78
V4998	SAFELITE GLASS CORP	2,858.78
V7547	SAFETY-KLEEN SYSTEMS INC	559.52
V4988	SAF-GARD SAFETY SHOE COMPANY	3,556.86
V1791	SEALING DEVICES INC	1,320.00
V4289	SERVICEMASTER BY PHOENIX	3,999.82
V7560	SHANOR ELECTRIC SUPPLY COMPANY, INC	520.00
V7749	SHARE CORP	630.45
V4992	SHI INTERNATIONAL CORP	31,420.85
V8188	SHIMADZU SCIENTIFIC INSTRUMENTS INC	7,259.90
V7604	SHRIER-MARTIN PROCESS EQUIPMENT INC	5,480.00
V8179	SIEMENS INDUSTRY INC	117,218.21
V1858	SIEWERT EQUIPMENT COMPANY, INC	53,985.13
V4963	SIMMERS CRANE DESIGN & SERVICES CO.	22,800.00
V4968	SIRIUS COMPUTER SOLUTIONS INC	89,226.06
V4953	SLACK CHEMICAL COMPANY INC	9,021.75
V1763	SNAP-ON TOOLS CORPORATION	1,006.20
V7873	SOUTHTOWN SUPPLY INC.	8,053.00
V7626	STANDARD & POORS CORPORATION	25,250.00
V0287	STANLEY CONVERGENT SECURITY SOLUTION INC	15,536.69
V1772	STANLEY STEEL SERVICE CORPORATION	4,553.50
V7833	STC CONSTRUCTION INC	3,443,370.45
V7816	STEELCASE	22,488.90
V7880	SUBCARRIER COMMUNICATIONS INC.	19,899.84
V6566	SUN LIFE FINANCIAL(USE #3 ADDRESS)	82,729.59
V1853	SUPERIOR LUBRICANTS CO INC	3,190.92
V6767	T. MINA SUPPLY, INC.	18,344.50

VEN NO	VENDOR NAME	PAID
V4296	T.A.P. COMPANY	3,325.00
V8484	TALLEY, INC.	3,886.03
V2762	TEMP-PRESS	774.00
V4266	TENACITY INC	3,750.00
V5125	THE ENVIRONMENTAL SERVICE GROUP (NY) INC	865.00
V5889	THE NELAC INSTITUTE(USE ADDRESS #2)	1,050.00
V4101	THE PUMP DOCTOR INC	7,615.33
V0873	THE REMI GROUP, LLC	16,270.14
V8168	THE SAFETY & HEALTH TRAINING CENTER INC	8,095.00
V1845	THE SHERWIN WILLIAMS COMPANY	3,835.83
V1795	THE STATE INSURANCE FUND	1,712,835.54
V1983	THERMO ELECTRON NORTH AMERICA LLC	16,944.84
V5374	THOMPSON PIPEGROUP PRESSURE, INC.	84,959.00
V2778	THYSSENKRUPP ELEVATOR CORP.	5,412.72
V8480	TI-SALES INC	190,881.70
V2738	TOSHIBA INTERNATIONAL CORPORATION	79,456.68
V8496	TOTAL PIPING SOLUTIONS INC	43,521.27
V9001	TOWNE FORD INC	32,884.23
V9095	TRANSWAVE COMMUNICATIONS SYSTEMS INC	21,825.00
V4655	U&S SERVICES INC.	2,176.00
V4285	UNITED AUTO SUPPLY OF SYRACUSE WEST INC	8,337.22
V2019	UNITED BUSINESS SYSTEMS	1,690.74
V0709	UNITED RENTALS NORTH AMERICA INC	9,692.00
V8145	UNIVAR USA INC	104,599.38
V8104	UPSTATE STEEL INC	710.90
V4623	US TRAFFIC CONTROL, INC.	221,304.00
V8131	USA BLUEBOOK	11,536.85
V8410	VALLEY FAB AND EQUIPMENT INC	503.19
V8415	VAN BORTEL FORD INC	36,687.04
V8719	VERAVIEW LLC	983.87
V2073	VISION SERVICE PLAN	21,142.00
V2062	VOLLAND ELECTRIC EQUIPMENT CORP	79,392.70

VEN NO	VENDOR NAME	PAID
V8447	VSP GRAPHIC MARKETING CORP	5,255.00
V0815	W W GRAINGER INC	279,864.54
V6507	W.B.MASON CO.,INC.	6,049.14
V8357	WATERISAC	3,300.00
V8322	WATSON-MARLOW INC.	131,494.69
V2168	WELLINGTON LABORATORIES LLC	5,025.00
V8336	WENDEL	507,434.89
V2117	WESCO DISTRIBUTION, INC.	4,310.16
V4654	WEST-HERR DODGE	2,983.92
V7722	WM SCHUTT & ASSOCIATES PC	297,020.74
V5554	XYLEM, INC	110,863.80
V2219	YELLOW TRANSPORTATION INC YRC(RDWY)	1,464.75
V0781	YOKOGAWA FLUID IMAGING TECHNOLOGIES INC	111,870.00
V8703	ZEND TECHNOLOGIES INC	7,975.00
V2297	ZENGER GROUP	693.94

**ERIE COUNTY WATER AUTHORITY
HR Policies/Procedures**

Re:	WHISTLEBLOWER PROTECTION POLICY	Policy No.	16.0
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Application:	All Employees	Adopted:	04/03/08
		Amended:	01/26/12
			03/24/20

General

The Erie County Water Authority Code of Ethics & Conflict of Interest Policy (Policy No. 11) requires members, ad hoc members, officers and employees to observe high standards of business and personal ethics in the conduct of their duties and responsibilities. As employees and representatives of the Authority, we must practice honesty and integrity in fulfilling our responsibilities and comply with all applicable laws and regulations.

As part of our ethical responsibility, any alleged corruption, fraud, criminal or unethical activity, misconduct, waste, conflict of interest, intentional reporting of false or misleading information, or abuse of authority engaged in by an Authority Employee (as defined herein) that relates to the Authority shall be reported to the appropriate individuals as set forth herein.

Reporting Responsibility

It is the responsibility of all members, ad hoc members, officers and employees to comply with Policy No. 11 Code of Ethics & Conflict of Interest Policy and to report violations or suspected violations in accordance with this Whistleblower Protection Policy.

No Retaliation

No member, ad hoc member, officer or employee who in good faith reports a violation of Policy No. 11 Code of Ethics & Conflict of Interest Policy shall suffer harassment, retaliation or adverse employment consequence. An employee who retaliates against someone who has reported a violation in good faith is subject to discipline up to and including termination of employment. This Whistleblower Protection Policy is intended to encourage and enable employees and others to raise serious concerns within the Authority prior to seeking resolution outside the Authority.

Reporting Violations

All Authority Employees who discover or have knowledge of potential wrongdoing concerning board members, ad hoc members, officers, or employees of this Authority; or a person having business dealings with the Authority; or concerning the Authority itself, shall report such activity in accordance with the following procedures:

- a) The Authority Employee shall disclose any information concerning wrongdoing either orally or in a written report to his or her supervisor, or to the Authority's General Counsel, the Director of Human Resources or any member of the Independent Ethics Panel.
- b) All Authority Employees who discover or have knowledge of wrongdoing shall report such wrongdoing in a prompt and timely manner.
- c) The identity of the whistleblower and the substance of his or her allegations will be kept confidential to the best extent possible.
- d) Any report of potential wrongdoing shall be investigated and handle the claim in a timely and reasonable manner, which may include referring such information to the Authorities Budget Office or an appropriate law enforcement agency where applicable.
- e) Should an Authority Employee believe in good faith that disclosing information within the Authority pursuant to Section 1(a) above would likely subject him or her to adverse personnel action or be wholly ineffective, the Authority Employee may instead disclose the information to the Authorities Budget Office or an appropriate law enforcement agency, if applicable. The Authorities Budget Office's toll-free number (1-800-560-1770) should be used in such circumstances.

Compliance Officials

The Office of the Secretary and the Independent Ethics Panel with assistance from the Authority's Legal Department are responsible for investigating and resolving all reported complaints and allegations concerning violations of Policy No. 11 Code of Ethics & Conflict of Interest Policy and will report, on a confidential basis, all allegations to the Board of Commissioners (the "Board"). The Board has the authority to provide funds for investigations as required.

Acting in Good Faith

Information concerning potential wrongdoing is disclosed in "good faith" when the individual making the disclosure reasonably believes such information to be true and reasonably believes that it constitutes potential wrongdoing.

Confidentiality

Violations or suspected violations may be submitted on a confidential basis by the complainant or may be submitted anonymously. Reports of violations or suspected violations will be kept confidential to the extent possible, consistent with the need to conduct an adequate investigation.

Handling of Reported Violations

The Authority's General Counsel, the Director of Human Resources, a Supervisor or any member of the Independent Ethics Panel to whom notice of the reported violation or suspected violation was given will notify the sender and acknowledge receipt of the reported violation or suspected violation within five business days. All reports will be promptly investigated, and appropriate corrective action will be taken if warranted by the investigation.

Employees

All board members, and officers and staff employed at the Authority whether full-time, part-time, employed pursuant to contract, employees on probation and temporary employees shall be considered employees for the purposes of applicability of this policy.